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09/971,717	10/04/2001	David Ian Houlding	92717-319	3038

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EXAMINER

SHIFERAW, ELEN I A

ART UNIT PAPER NUMBER

2136

DATE MAILED: 01/07/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/971,717

Applicant(s)

HOULDING, DAVID IAN

Examiner

Eleni A Shiferaw

Art Unit

2136

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 04 October 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-26 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-26 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 10/04/2001 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

DETAILED ACTION

1. Claims 1-26 are presented for examination.

*Drawings*

2. New corrected drawings in compliance with 37 CFR 1.121(d) are required in this application because Figure 1-3 and 5 are missing legend. The corrected drawings are required in reply to the Office action to avoid abandonment of the application. The requirement for corrected drawings will not be held in abeyance.

*Claim Rejections - 35 USC § 102*

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. Claims 12, 13, and 15 are rejected under 35 U.S.C. 102(e) as being anticipated by Chopra (Pub. No.: US 2002/0128920 A1).

As per claim 12, Chopra teaches a system for providing security to a client computing system operating a browser in communication with an interactive software application maintained by a host computing system, said system comprising:

at least one processor in the client computing system operable to generate and communicate a request to download the interactive software application from the host computing system to the client computing system (Chopra page 1 par. 0007); and

a memory operating in the client computing system to store the interactive software application downloaded in response to the download request, said at least one processor executing the stored interactive software application and the browser, the executed interactive software application and browser being in communication (Chopra page 2 par. 0019, and page 3 par. 0024).

As per claim 13 Chopra teaches the method/system, wherein the communication includes issuing and receiving events (Chopra page 1 par. 0007).

As per claim 15 Chopra teaches the method/system, wherein the interactive software application is a Java applet (Chopra page 6 claim 36).

### ***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claims 1-11, 14, and 16-26 are rejected under 35 U.S.C. 103(a) as being unpatentable over Chopra (Pub. No.: US 2002/0128920 A1) in view of Brownell (Pub. No.: US 2002/0169980 A1).

As per claims 1 and 26 Chopra teaches a method for providing security to a client computing system in communication with a host communication system across a network, said method comprising:

- executing a browser on the client computing system (Chopra page 2 par. 0019);
- communicating from the client to the host computing system (Chopra Fig. 1 No. 102 & 106), a request to download data to be displayed in the browser (Chopra page 1 par. 0007);
- downloading the data from the host computing system to the client computing system (Chopra page 3 par. 0024);
- loading an interactive software application in the browser, the interactive software application utilizing the data downloaded from the host computing system (Chopra page 3 par. 0024); and
- executing the interactive software application in the browser on the client computing system, the interactive software application being in communication with at least one element on the client side (Chopra page 2 par. 0019, and page 3 par. 0024);

Chopra does not explicitly teach client side firewall.

However Brownell discloses client side firewall (Brownell Page 5 par. 0056).

Therefore it would have been obvious to one having ordinary skill in the art at the time the invention was made to employ the teachings of Brownell within the system of Chopra because it would allow to specify that network traffic from one source be blocked, network traffic from another source be rerouted to another network, user profile data and data available through user authentication service (Brownell page 5 par. 0056).

As per claim 19 Chopra teaches a method for providing security to a client computing system operating an interactive software application, said method comprising:

loading the interactive software application on the client computing system (Chopra page 3 par. 0024);

executing the interactive software application in a browser on the client computing system (Chopra page 1 par. [0006-0007], and page 3 par. 0024); and  
communicating data between the at least one element and browser (Chopra page 2 par. 0019, and page 3 par. 0024);

Chopra does not disclose communicating a digital signature to the browser;  
verifying the digital signature;  
upon confirmation of the digital signature, opening a port of the browser for receiving data from at least one element;

However Brown teaches communicating a digital signature to the browser (Brownell page 6 par. 0072 and page 4 par. [0050-0054]);

verifying the digital signature (Brownell page 6 par. 0075 and page 4 par. [0050-0054]);  
upon confirmation of the digital signature, opening a port of the browser for receiving data from at least one element (Brownell page 6 par. 0072 and page 4 par. [0050-0054]);

Therefore it would have been obvious to one having ordinary skill in the art at the time the invention was made to employ the teachings of Brownell within the system of Chopra because it would allow to authenticate and verify a user to further improve security (Brownell page 6 par. 0072).

As per claim 2 both Chopra and Brownell teach all the subject matter as described above. In addition Chopra teaches the method/system, wherein the communication includes issuing and receiving events (Chopra page 1 par. 0007).

As per claims 3 and 14 both Chopra and Brownell teach all the subject matter as described above. In addition, teaches the method/system, wherein the at least one element includes at least one of a browser and an element of an underlying architecture (Chopra page 2 par. 0019, and Brownell page 4 par. 0050).

As per claims 4, and 5 both Chopra and Brownell teach all the subject matter as described above. In addition Chopra teaches the method/system, wherein the interactive software application is a Java applet (Chopra page 6 claim 36).

As per claims 6, 16 and 22 both Chopra and Brownell teach all the subject matter as described above. In addition Brownell teaches the method/system, wherein the communication commences after verification of a digital signature, digital signature associated with the host (Brownell page 6 par. 0072 & 0075). The rationale for combining are the same as claim 19 above.

As per claim 7 both Chopra and Brownell teach all the subject matter as described above. In addition Brownell teaches the method/system, further comprising:

reading a digital signature (Brownell page 6 par. 0072 and page 4 par. [0050-0054]);

verifying the digital signature (Brownell page 6 par. 0075 and page 4 par. [0050-0054]);

and

opening a port of the browser to receive events from the at least one element (Brownell page 6 par. 0072 and page 4 par. [0050-0054]). The rationale for combining are the same as claim 19 above.

As per claims 8 and 17 both Chopra and Brownell teach all the subject matter as described above. In addition, the method/system, wherein the data includes a model representative of an underlying architecture of a software system (Chopra page 3 par. 0024, and Brownell page 4 par. 0050).



As per claim 9, both Chopra and Brownell teach all the subject matter as described above. In addition Chopra teaches the method, wherein the browser operates a graphical user interface to display data communicated by the at least one element (Chopra page 2 par. 0017).

As per claim 10, both Chopra and Brownell teach all the subject matter as described above. In addition Chopra teaches the method, wherein the data includes content and format information (Chopra page 3 par. 0024).

As per claims 11, 18, and 25, both Chopra and Brownell teach all the subject matter as described above. In addition, the method/system, wherein the browser is a web browser (Chopra page 2 par. 0019, and Brownell page 4 par. 0050).

As per claim 20, both Chopra and Brownell teach all the subject matter as described above. In addition Chopra teaches the method, wherein the data includes at least one of events and requests (Chopra page 1 par. [0006-0007]).

As per claim 21, both Chopra and Brownell teach all the subject matter as described above. In addition Chopra teaches the method, wherein the events and requests utilize the HTTP protocol (Chopra page 2 par. 0019).

As per claim 23, both Chopra and Brownell teach all the subject matter as described above. In addition Chopra teaches the method, wherein the at least one element is at least one of a second browser and component of an underlying architecture (Chopra page 3 par. 0024, and Brownell page 4 par. 0050).

As per claim 24, both Chopra and Brownell teach all the subject matter as described above. In addition Brownell teaches the method, wherein the at least one element operates on the client side of a client firewall (Brownell page 5 par. 0056). The rationale for combining is the same as claim 19 above.

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Eleni A Shiferaw whose telephone number is 571-272-3867. The examiner can normally be reached on Mon-Fri 8:00am-5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz R Sheikh can be reached on 571-272-3795. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

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A handwritten signature in black ink, appearing to be 'Eli' or similar, written in a cursive style.

#U2131

12/29/04

Eleni Shiferaw  
Art Unit 2136  
December 28, 2004